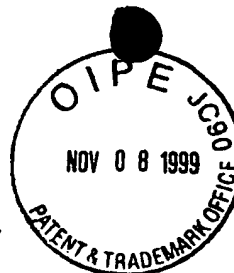


Attorney Docket No.: P-UD 3613  
Applicants or Patentees: Karin et al.  
Serial or Patent No.: 09/377,795  
Filed or Issued: August 20, 1999  
Title: **GAMMA SUBUNIT OF CYTOKINE RESPONSIVE IKB-ALPHA KINASE  
COMPLEX AND METHODS OF USING SAME**



**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27(d)) NONPROFIT ORGANIZATION**

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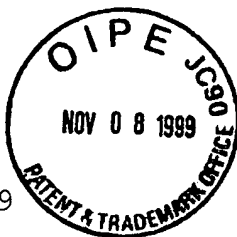
I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION: **The Regents of the University of California**  
ADDRESS OF NONPROFIT ORGANIZATION: **1111 Franklin Street, 12<sup>th</sup> Fl. Oakland, California 94607**

TYPE OF NONPROFIT ORGANIZATION:

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3))
- ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)
- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)

Inventors: Karin et al.  
Serial No.: 09/377,795  
Filed: August 20, 1999  
Page 2



I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention entitled **GAMMA SUBUNIT OF CYTOKINE RESPONSIVE IKB-ALPHA KINASE COMPLEX AND METHODS OF USING SAME** by inventor(s) **Michael Karin, David M. Rothwarf and Ebrahim Zandi** described in:

[ ] the specification filed herewith  
[X] application serial no. **09/377,795**, filed **August 20, 1999**.  
[ ] patent no. , issued

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above-identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any persons, other than the inventors, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME:

ADDRESS:

[ ] INDIVIDUAL [ ] SMALL BUSINESS CONCERN [ ] NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance

Inventors: Karin et al.  
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Filed: August 20, 1999  
Page 3



fee due after the date on which status as a small entity is no longer appropriate (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing: Alan Paau

Title in Organization of Person Signing: Director, Technology Transfer

Address of Person Signing: 9500 Gilman Dr.  
La Jolla, CA 92093-0910

Signature: *Alan Paau*

Date: 10/27/99

DECLARATION FOR PATENT APPLICATION



As the below-named inventors, we hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled **GAMMA SUBUNIT OF CYTOKINE RESPONSIVE I $\kappa$ B-ALPHA KINASE COMPLEX AND METHODS OF USING SAME**, the specification of which

\_\_\_\_\_ is attached hereto as Attorney Docket No. \_\_\_\_\_.

  x   was filed on **August 20, 1999**, as Application Serial No. **09/377,795**, Attorney Docket No. **P-UD 3613**).

and was amended on (or amended through) \_\_\_\_\_.  
(if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above.

I acknowledge the duty to disclose to the U.S. Patent and Trademark Office all information known to myself to be material to patentability as defined in Title 37, Code of Federal Regulations, Sec. 1.56.

Under Sec. 1.56, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and (1) It establishes, by itself or in combination with other

Inventors: Karin et al.  
Serial No.: 09/377,795  
Filed: August 20, 1999  
Page 2 of 3



information, a prima facie case of unpatentability of a claim;  
or (2) It refutes, or is inconsistent with, a position the  
applicant takes in: (i) Opposing an argument of  
unpatentability relied on by the U.S. Patent and Trademark  
Office, or (ii) Asserting an argument of patentability.

I hereby claim the benefit under Title 35, United  
States Code, §119(e) of the United States application listed  
below:

<u>Application Serial No.</u>	<u>Filing Date</u>	<u>Status</u>
<b>60/097,418</b>	<b>08/20/98</b>	<b>Abandoned</b>

I hereby declare that all statements made herein of  
my own knowledge are true and that all statements made on  
information and belief are believed to be true; and further  
that these statements were made with the knowledge that  
willful false statements and the like so made are punishable  
by fine or imprisonment, or both, under Section 1001 of Title  
18 of the United States Code and that such willful false  
statements may jeopardize the validity of the application or  
any patent issued thereon.

Full name of first inventor: **Michael Karin**

Inventor's signature: \_\_\_\_\_

Date: **10/25/99**

Residence:

La Jolla, California USA

Citizenship:

United States of America

Post Office Address:

7710 E. Roseland Drive  
La Jolla, CA 92037

Inventors: Karin et al.  
Serial No.: 09/377,795  
Filed: August 20, 1999  
Page 3 of 3



Full name of second inventor: **David M. Rothwarf**  
Inventor's signature: David M. Rothwarf  
Date: 10/21/99  
Residence: La Jolla, California USA  
Citizenship: United States of America  
Post Office Address: 8584 Villa La Jolla Drive, #346  
La Jolla, CA 92037

Full name of third inventor: **Ebrahim Zandi**  
Inventor's signature: \_\_\_\_\_  
Date: \_\_\_\_\_  
Residence: Duarte, California USA  
Citizenship: United States of America  
Post Office Address: 2618 Sunnydale Drive  
Duarte, CA 91010

Inventors: Karin et al.  
Serial No.: 09/377,795  
Filed: August 20, 1999  
Page 3 of 3



Full name of second inventor: **David M. Rothwarf**

Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

Residence: La Jolla, California USA

Citizenship: United States of America

Post Office Address: 8584 Villa La Jolla Drive, #346  
La Jolla, CA 92037

Full name of third inventor: **Ebrahim Zandi**

Inventor's signature: Ebrahim Zandi

Date: 10-20-99

Residence: Duarte, California USA

Citizenship: ~~United States of America~~

Post Office Address:

US Permanent Residency E.Z.  
2618 Sunnydale Drive

Duarte, CA 91010

**An executed Verified Statement  
(Declaration) Claiming Small Entity  
Status**

**P-UD 3613**

**Serial No.: 09/377,795**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Attention Box Missing Parts, Washington, D.C. 20231, on November 3, 1999.

By Andrea L. Gashler  
Andrea L. Gashler, Reg. No. 41,029

November 3, 1999  
Date of Signature



UCSD Case No. SD98-107



PATENT

Our Docket: P-UD 3613

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application	)	For: <u>GAMMA SUBUNIT OF CYTOKINE</u>
Karin et al.	)	<u>RESPONSIVE IKB-ALPHA KINASE</u>
	)	<u>COMPLEX AND METHODS USING SAME</u>
Serial No.: <u>09/377,795</u>	)	Group: <u>Unknown</u>
Filed: <u>August 20, 1999</u>	)	Art Unit: <u>Unknown</u>
		Examiner: <u>Not Yet Assigned</u>

---

Asst. Commissioner of Patents and Trademarks  
Washington, D.C. 20231

**POWER OF ATTORNEY BY ASSIGNEE**  
**AND EXCLUSION OF INVENTOR(S) UNDER 37 C.F.R. § 3.71**

Dear Sir:

The undersigned assignee of the entire interest in the above-identified subject application hereby appoints CATHRYN CAMPBELL, Registration No. 31,815; SUSAN M. PERKINS, Registration No. 36,405; PAUL C. STEINHARDT, Registration No. 30,806; GREGORY R. HOOK, Registration No. 38,701; DAVID SPOLTER, Registration No. 36,933; DAVID A. GAY, Registration No. 39,200; CALVIN A. FAN, Registration No. 38,444; ROBERT T. RAMOS, Registration No. 37,915; ANDREA L. GASHLER, Registration No. 41,029; JAMES J. WONG, Registration No. 34,949; and DEBORAH L. CADENA, Registration No. 44,048, all of the firm of Campbell & Flores LLP, as its attorneys to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith, said appointment to be to the

Inventors: Karin et al.  
Serial No.: 09/377,795  
Filed: August 20, 1999  
Page 2



exclusion of the inventors and their attorney(s) in accordance with the provisions of 37 C.F.R. § 3.71.

An assignment of the entire interest in the above-identified subject application:

[ ] was recorded on \_\_\_\_\_ at  
reel/frame\_\_\_\_\_/\_\_\_\_.

[X] is submitted herewith for recording.

Please direct all telephone calls to Cathryn Campbell at (858) 535-9001, Facsimile No. (858) 535-8949 and all correspondence relative to said application to the following address:

CATHRYN CAMPBELL  
CAMPBELL & FLORES LLP  
4370 La Jolla Village Drive  
7<sup>th</sup> Floor  
San Diego, CA 92122-1252

ASSIGNEE: **THE REGENTS OF THE UNIVERSITY OF CALIFORNIA**

Signature: \_\_\_\_\_

*Alan Paau*

*10/27/99*  
Date

Typed Name: \_\_\_\_\_

Alan Paau

Title: \_\_\_\_\_

Director, Technology Transfer Office

University of California, San Diego  
Technology Transfer Office  
9500 Gilman Drive  
La Jolla, California 92093-0093



An executed Power of Attorney by  
Assignee and Exclusion of  
Inventor(s) Under 37 C.F.R. §3.71  
P-UD 3613  
Serial No.: 09/377,795

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the United States Postal Service as first class mail in an  
envelope addressed to: Assistant Commissioner for Patents,  
Attention Box Missing Parts, Washington, D.C. 20231, on  
November 3, 1999.

By Andrea L. Gashler  
Andrea L. Gashler, Reg. No. 41,029

November 3, 1999  
Date of Signature



An executed Declaration for Patent  
Application

P-UD 3613

Serial No.: 09/377,795

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By Andrea L. Gashler  
Andrea L. Gashler, Reg. No. 41,029

November 3, 1999  
Date of Signature



A copy of the Notice to File  
Missing Parts of Application,  
Filing Date Granted  
P-UD 3613  
Serial No.: 09/377,795

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By Andrea L. Gashler  
Andrea L. Gashler, Reg. No. 41,029

November 3, 1999  
Date of Signature



A paper copy of the Sequence  
Listing, pages 1 through 10  
P-UD 3613  
Serial No.: 09/377,795

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the United States Postal Service as first class mail in an  
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Attention Box Missing Parts, Washington, D.C. 20231, on  
November 3, 1999.

By Andrea L. Gashler  
Andrea L. Gashler, Reg. No. 41,029  
November 3, 1999  
Date of Signature



An executed Statement Under C.F.R.  
3.73(b)  
P-UD 3613  
Serial No.: 09/377,795

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the United States Postal Service as first class mail in an  
envelope addressed to: Assistant Commissioner for Patents,  
Attention Box Missing Parts, Washington, D.C. 20231, on  
November 3, 1999.

By Andrea L. Gashler  
Andrea L. Gashler, Reg. No. 41,029

November 3, 1999  
Date of Signature

STATEMENT UNDER 37 C.F.R. § 3.73(b)

Title of Application: **GAMMA SUBUNIT OF CYTOKINE RESPONSIVE  
IKB-ALPHA KINASE COMPLEX AND METHODS OF  
USING SAME**

Application Ser. No.: **09/377,795**

Filed: **August 20, 1999**

Inventor(s): **Karin et al.**

Attorney Docket No.: **P-UD 3613**



THE REGENTS OF THE UNIVERSITY OF CALIFORNIA, a University, states that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of an assignment from the inventors of the application. A copy of the executed assignment, submitted for recording, is attached hereto as documentary evidence of the chain of title to the assignee.

The undersigned is empowered to sign this statement on behalf of the assignee.

THE REGENTS OF THE UNIVERSITY OF  
CALIFORNIA

Date: 10/07/99

Signature: Alan Paau

Printed Name: Alan Paau

Title: Director, Technology Transfer